

IFO AUDIT GUIDE

Mishaps

TABLE OF REFERENCES

Document Number	Title
NPR 8621.1A	NASA Procedural Requirements for Mishap Reporting, Investigating, and Recordkeeping

<i>Mishaps</i>			
ATTRIBUTE	SOURCE	SAT/ UNSAT	REMARK/COMMENT
A. Management 1. Does the Center Director ensure that a Center pre-mishap plan is established consistent with NPR 8621.1A? a. Does it include local policies and procedures for mishap reporting, investigation, recording, and prevention?	NPR 8621.1A, Para. 1.4.6.a		
2. Are there program/project pre-mishap plans for all programs/projects? a. Who reviewed/approved the plans?	NPR 8621.1A, Para. 1.4.7.a		
3. How does the Center Safety Office ensure that employees are familiar with the roles and responsibilities as documented in the Center pre-mishap plan and in NPR 8621.1A?	NPR 8621.1A, Para. 1.4.20.b		
4. How does the Center Safety Office ensure that the Center pre-mishap plan is effectively implemented?	NPR 8621.1A, Para. 1.4.20.c		
5. What triggers activation of the pre-mishap plan when there is a mishap? a. Do program and project managers have the authority to activate it?	NPR 8621.1A, Para. 1.4.7.b		
6. Is mishap investigation training conducted? a. At what frequency? b. How is it ensured that personnel participating in the mishap investigation have been properly trained?	NPR 8621.1A, Para. 1.4.20.a		

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7. Is a list of all Center personnel with training and experience in mishap investigations maintained? a. Does it contain information such as relevant training courses, date of training, recent participation in mishap investigations, and security clearances?	NPR 8621.1A, Para. 1.4.20.L		
8. Are mishap and close call reporting and investigating procedures and corrective action requirements detailed in the NFS into contracts and grants covering NASA programs and operations?	NPR 8621.1A, Para. 1.4.25		
B. Notification and Reporting 1. Do all employees know to immediately notify emergency personnel and a supervisor, management official, or a safety/health staff member if witness to or involved in a mishap or close call? a. Is this evident? b. Do employees know the definition of a mishap or close call?	NPR 8621.1A, Paras. 1.4.23.a, 1.2.1, 1.2.3		
2. Is there evidence that supervisors notify the Safety Office when a mishap or close call occurs? a. Is there evidence that supervisors know the definition of a mishap or close call?	NPR 8621.1A, Para. 1.4.22.a, 1.2.1, 1.2.3		
3. Is there evidence that mishaps are reported to Headquarters by the Center Safety Office and to OSHA when applicable?	NPR 8621.1A, Paras. 1.4.20.d, 3.11, 3.12		
4. Is the NTSB notified of mishaps involving aircraft? a. Is NTSB Form 6120 completed?	NPR 8621.1A, Para. 1.4.24		

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<p>5. Is mishap and close call information entered in the Incident Reporting Information System (IRIS) within 24 hours of the incident?</p> <p>a. Is information updated as necessary, minimally every 30 days?</p>	NPR 8621.1A, Paras. 1.4.20.i, 1.8.4		
<p>C. Investigation</p> <p>1. Does the Center Safety Office initiate, facilitate, and coordinate all investigation activities per the plan?</p> <p>a. What evidence is there of this?</p>	NPR 8621.1A, Para. 1.4.20.c		
<p>2. How is it ensured that the mishap investigation process is properly completed?</p> <p>a. How is it ensured that the appropriate investigation authority is selected for the specific mishap/close call?</p> <p>b. Is there evidence that the appropriate investigation authority is being selected?</p>	NPR 8621.1A, Para. 1.4.9.g, 1.7.1, Figure 5		
<p>3. How is it ensured that investigations are conducted in accordance with NASA policy and NPR 8621.1A, and are fair, independent, and nonpunitive?</p>	NPR 8621.1A, Para. 1.4.11.d		
<p>D. Close Call and Mishap Reports</p> <p>Review a sample of close call and mishap reports.</p> <p>1. Is there evidence that the Center Director determines the mishap classification level for all mishaps occurring at the Center?</p> <p>a. Are classifications in accordance with requirements in NPR 8621.1A?</p>	NPR 8621.1A, Para. 1.4.6.b, Figure 1		

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2. Is there evidence that concurrence from the AA/OSMA and the EAA has been obtained for Type A and B mishaps, high visibility mishaps, and close calls? a. How is this documented?	NPR 8621.1A, Para. 1.4.6.b		
3. Do supervisors complete the initial mishap or close call report? a. How are changes to reports managed?	NPR 8621.1A, Para. 1.4.22.e		
4. Is the appropriate information included in the mishap report depending on the classification level/type of investigation?	NPR 8621.1A, Para. 1.7.1, Figure 5		
5. Does the Ex-Officio Representative ensure that mishap reports contain: a. Proximate causes? b. Root causes? c. Failed barriers? d. Observations? e. Sufficient facts/data to support the findings and recommendations? f. Mishap investigation summaries?	NPR 8621.1A, Para. 1.4.11.e		
6. Are mishap reports signed by: a. The Ex Officio Representative? b. The Investigating Authority (or advisors)? c. Does it appear that these signatures are accomplished only after thorough review of the reports?	NPR 8621.1A, Paras. 1.4.11.f, 1.4.14.c, 6.16, 6.17		

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<p>7. Who reviews and endorses mishap reports and associated lessons learned?</p> <p>a. Is there evidence that this is taking place?</p> <p>b. Is it evident that a thorough review was completed prior to signature?</p>	NPR 8621.1A, Paras. 1.4.9.h, 1.4.9.j, 1.4.10		
<p>8. Are mishap reports distributed in accordance with NPR 8621.1A?</p> <p>a. Is this accomplished only after notification that the report is authorized for public release?</p>	NPR 8621.1A, Paras. 1.4.6.e, 6.5		
<p>9. Are mishap investigation records and physical evidence retained?</p> <p>a. How is this information secured?</p>	NPR 8621.1A, Para. 1.4.20.k		
<p>10. How does the Center Director verify that NASA contractors and grantees conduct mishap investigations and provide mishap reports as specified in their contracts and in NFS 1852.223-70?</p> <p>a. Are reports reviewed to ensure that they:</p> <p>(1) Address root cause?</p> <p>(2) Provide recommendations to prevent recurrence?</p> <p>(3) Are suitably independent?</p> <p>(4) Are not deficient?</p> <p>b. Is there evidence that reviews are conducted?</p> <p>c. Are there recent examples of contractor-prepared mishap reports?</p> <p>d. What occurs when a NASA contractor's mishap report is found not to be adequate?</p>	NPR 8621.1A, Paras. 1.4.6.f		

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E. Corrective Actions 1. Are Corrective Action Plans (CAPs) developed and submitted within 15 working days from being tasked? a. Do CAPs contain a description of corrective actions, responsible organizations, and completion dates?	NPR 8621.1A, Paras. 7.1.3, 7.2.1.a		
2. How is it ensured that CAPs are successfully implemented? a. Are corrective action activities monitored/followed up to ensure effective implementation? b. Is the progress of corrective actions tracked in IRIS? c. Does the Center safety office report noncompliance to the appointing official?	NPR 8621.1A, Paras. 1.4.7.e, 1.4.9.i, 7.4.2, 7.5.1		
3. Is there evidence that the Center Safety Office verifies the CAP is complete and that all elements of the investigation have been completed and entered in IRIS? a. Are CAP closure statements and mishap investigation completion statements generated?	NPR 8621.1A, Para. 1.4.20.j, 1.4.9.l, 7.5.2, 7.5.3		
4. Are lessons learned generated as a result of mishaps? a. How are they documented and where are they maintained? b. How are these lessons learned used?	NPR 8621.1A, Para. 1.4.6.e, 7.6		